



DEPARTMENT OF THE NAVY

DIRECTOR NAVAL RESERVE INFORMATION SYSTEMS OFFICE
4400 DAUPHINE STREET
NEW ORLEANS, LOUISIANA 70146-5401

NAVRESINFOSYSOFFINST 12430.1A
N2
17 Dec 97

NAVRESINFOSYSOFF INSTRUCTION 12430.1A

Subj: PERFORMANCE APPRAISAL AND AWARDS SYSTEMS

Ref: (a) HRONOLAINST 12430.1
(b) HRONOLAINST 12451
(c) DON Supervisor's Desk Guide to the Incentive Awards Program

Encl: (1) NAVRESINFOSYSOFF Form 12451/2
(2) NAVRESINFOSYSOFF Form 12451/3
(3) OPNAV Form 5305/1
(4) NAVRESINFOSYSOFF Form 12451/4

1. Purpose. To provide information about performance appraisal and award procedures in the Naval Reserve Information Systems Office (NAVRESINFOSYSOFF). These performance programs are intended as powerful management tools for motivating productivity by recognizing performance and creativity in the workplace. This instruction should be reviewed in its entirety.

2. Cancellation. NAVRESINFOSYSOFFINST 12430.1.

3. Background. The Department of the Navy (DON) Performance Appraisal and Awards Programs are designed to reward individuals and/or groups, who have made significant contributions to the DON. The programs provide appraisals of employee performance based on job-related criteria and cash awards for performance, special acts, suggestions inventions, and non-monetary awards for a broad range of contributions.

a. References (a) and (b) provide guidance for the separation of performance awards policy from other types of incentive awards, decentralize approval authority, accelerate the approval process, establish on-the-spot cash awards, and revitalize the suggestion program.

b. Reference (c) authorizes and implements a time-off incentive award that may be used to encourage and reward superior accomplishments or other personal efforts, which contribute to the quality, efficiency, or economy of government operations.

4. Information. The DON performance management plan and the awards system are designed to improve organizational effectiveness and are linked to various personnel actions. The command standard for all supervisory positions is the Alternate Performance Appraisal System (APAS). The standard for non-supervisory positions is the Performance Appraisal Review System (PARS).

5. Policy. Performance awards are given solely for purposes of recognition and reward for performance of the duties of the employee's individual position. They are based on the employee's annual rating of record for the current appraisal year. The rating year for NAVRESINFOSYSOFF ends on 30 June.

a. Eligibility. To be eligible for a performance award, employees must have been covered by performance standards for at least ninety days. This time frame is the minimum for purposes of receiving an annual rating. Awards for performance are only given at the end of the rating year, or the extended year, where applicable, to allow the individual a 90-day rating. General Schedule (GS) and General Management (GM) employees with current "O" ratings are eligible to receive a Quality Salary Increase (QSI).

b. Payment of Awards for Performance. Performance awards for annual ratings may be granted as lump sum cash or a QSI.

(1) Lump Sum Cash Award. Amounts of cash vary; however, approved awards for employees in the same grade must be the same where the appraisal rating is the same. For example, GS-7s rated as Outstanding ("O") must receive more cash than a GS-7 rated as "Exceeds Fully Successful ("EMS"). " An exception to this rule may be made where the employee has received a promotion during the appraisal period. In those cases, the performance award amount is restricted to the lesser amount of the grade held prior to the promotion. Lump sum cash awards are determined by the employee's rate of basic pay without locality pay included.

(2) Quality Salary Increase (QSI) Awards. The QSI is an adjustment to base pay and is in addition to any one-time performance award the employee may receive, because it impacts on future pay by accelerating salary increases. QSIs may only be approved for Outstanding performance ratings. Receipt of a QSI will not prevent an employee from receiving their regular within-grade increases. However, an approved QSI may change the eligibility date of an employee's regular, within-grade increase

(WGI) when the QSI increases the length of the waiting period for the next WGI. In those circumstances the effect of the incentive is diminished, and a lump sum cash award may be more appropriate for recognition.

(3) Incentive Awards

(a) Special Act Awards. Special Act Awards are given to individuals or groups to recognize non-recurring contributions either within or beyond normal job responsibilities such as an act of heroism or exemplary accomplishment.

(b) On-The-Spot Awards. A Special Act Award for a one-time achievement provides an immediate reinforcement for exceptional performance beyond the normal job requirements and benefits the local workplace. Monetary awards can range from \$25 to \$750.

(c) DON Suggestion Awards. This is a monetary award granted for an idea or contribution with tangible and/or intangible benefits that is adopted by management. The amount of the award is determined by its value in savings and scope of impact on the community or beyond, as appropriate.

(d) Time-off Awards. The granting of time-off from duty without charge to leave or loss of pay as an incentive for contributions to the quality, efficiency, or economy of government operations.

6. Procedures

a. Performance Appraisals. Supervisors establish performance plans not later than thirty days following the employees' reporting date or thirty days after the end of the rating cycle and conduct midyear reviews not later than 31 January each year. Performance ratings are closed out not later than ten days following change in supervision or the end of the rating cycle, 30 June, and completed appraisal and any award recommendation forwarded to the Management Support Division (N25) for review and submission to the Comptroller (N2) for certification of funds available and to the Director (N00) for approval. Employees should not be told about award recommendations until they are approved.

b. Performance Awards. Nominations are submitted on enclosure (1) to the Management Support Division (N25), with the

amount left blank, in conjunction with the employee's performance appraisal. The Business Operations Manager and Director, Software Engineering are designated to approve ratings of record and determine lump sum award amounts. The Director, NAVRESINFOSYSOFF approves all awards. QSI nominations are forwarded to N25 at the same time as the employee's proposed "O" rating is submitted for approval (enclosure (2)).

c. Other Awards. Special Act Awards are submitted by letter to the Director for approval signature and forwarding to the Human Resources Office (HRO) for payment. On-The-Spot Award recommendations are submitted by letter to the Director describing the significant accomplishment, with a carbon copy to Code N25 for notification purposes and forwarded to HRO for payment. Recommendations for incentive awards must be routed through N2 for funds availability. All other normal chain of command routing should be followed. Employee suggestion awards are routed to N2 for funding purposes, approved by the Director, and submitted to N25 on enclosure (3) for processing through HRO. Time-off awards are submitted on enclosure (4), with a summary of the justification for the award clearly indicated, to the Director for approval whenever the time off exceeds eight hours. Immediate supervisors have the authority to approve time-off awards of eight hours or less. This is done utilizing enclosure (4) and defining the accomplishment in remarks. Time-off awards are forwarded to HRO for preparation of the personnel action by N25. Incentive awards summarized in this paragraph may be submitted at any time and are not dependent upon the annual performance rating.

7. Responsibilities

a. Director

(1) Ensures the effective operation and administration of the NAVRESINFOSYSOFF Performance Appraisal and Incentive Awards Systems.

(2) Assigns financial and award planning responsibilities.

(3) Ensures that the review and approval process on awards is completed promptly, and the employees promptly awarded.

(4) Approves incentive awards.

b. Director, Software Engineering and Business Operations Manager

- (1) Approves ratings of record and performance awards.
- (2) Ensures funding for performance awards is available.
- (3) Ensures the total awards amount for annual performance ratings does not exceed 1.5 per cent of the aggregate annual command salary minus locality pay adjustments.

c. Department Heads

- (1) Ensure that awards are given in a fair and equitable manner.
- (2) Encourage subordinate supervisors and managers to participate fairly and equitably in the awards program and employees to participate in the Suggestion Program.
- (3) Forward proposed ratings of record and award recommendations to the Director, Resource Management Department (N2), not later than thirty days following the end of the rating year for regulatory review and forwarding to the Technical Director for final approval.

d. Incentive Awards Administrator (Director, Resource Management Department (N2))

- (1) Promptly reviews and forwards proposed ratings for approval.
- (2) Recommends rating scales within regulatory parameters and ensures award amounts are within budgetary requirements.
- (3) Provides advice and guidance on appraisals and awards.
- (4) Acts as liaison with HRO New Orleans concerning awards processing and to coordinate submission of award packages for proper payment during the appropriate fiscal year.

8. Records. Supervisors must maintain ratings of record and

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provide copies to the employee once the final copy is returned by N25. N25 maintains a copy of the last annual performance rating on each individual filed by year of rating and kept until the next rating year ends. N25 maintains statistical information on award breakdowns and award scales for management purposes.


D. A. WIKENHEISER

Distribution:

NAVRESINFOSYSOFFINST 5216.1

List A

List B

List C

Copy to:

COMNAVRESFOR

NAVSUPPACT New Orleans

NOMINATION FOR/APPROVAL OF PERFORMANCE AWARD

1. NAME OF EMPLOYEE _____

2. PRESENT ORGANIZATION _____

POSITION/TITLE _____

GRADE _____ STEP _____ SALARY _____

3. POSITION HELD DURING PERIOD COVERED BY THE NOMINATION, IF DIFFERENT, STATE REASON FOR CHANGE OF POSITION AND DATE OF CHANGE

4. PERIOD OF SERVICE RECOMMENDATION IS BASED ON: FROM _____ TO _____

5. IS EMPLOYEE IN A CAREER LADDER POSITION YES _____ NO _____

IF YES, STATE DATE OF LAST PROMOTION IF EFFECTED DURING APPRAISAL PERIOD _____

6. ATTACH A COPY OF EMPLOYEE'S MOST RECENT ANNUAL PERFORMANCE APPRAISAL TO SUPPORT THE NOMINATION.

NOMINEE'S POSITION DESCRIPTION AND THE PERFORMANCE STANDARDS FOR THE POSITION WERE THOROUGHLY REVIEWED BEFORE SUBMITTING THIS RECOMMENDATION. I CERTIFY THAT THE EMPLOYEE'S PERFORMANCE HAS BEEN APPRAISED AND THAT IT MEETS THE CRITERIA FOR A PERFORMANCE AWARD OF _____ (??) (AMOUNT NOT TO EXCEED PERCENTAGES INDICATED BELOW)

PAYOUT CONVERSION TABLE	WITHIN-GRADE		QUALITY STEP	PERFORMANCE AWARD (PA)
	RATINGS	INCREASE	INCREASE (QSI)	% OF SALARY
	O	FULL	ELIGIBLE *	0-20% @
	EFS	FULL	NO	0-10%
	FS	FULL	NO	0-10%
	M	ZERO	NO	ZERO
	U	ZERO	NO	ZERO

* THE PAYMENT OF QSIs AND/OR PAs IS OPTIONAL.

@ AWARDS OF MORE THAN 10% AND UP TO 20% MAY BE GIVEN FOR UNUSUALLY OUTSTANDING PERFORMANCE. THEY MUST BE APPROVED BY BUPERS.

IMMEDIATE SUPERVISOR

DATE

DEPARTMENT DIRECTOR

DATE

Technical Director

DATE

NOMINATION FOR QUALITY STEP INCREASE

1. NAME OF EMPLOYEE _____

2. PRESENT ORGANIZATION _____

POSITION/TITLE _____

GRADE _____ STEP _____

3. PERIOD OF SERVICE RECOMMENDATION IS BASED ON: FROM _____ TO _____

4. HOW LONG IN PRESENT POSITION _____ PRESENT GRADE _____

5. DATE NEXT REGULAR WITHIN-GRADE-INCREASE IS DUE _____

6. IS EMPLOYEE IN A CAREER LADDER POSITION _____ YES _____ NO

IF YES,

DATE OF LAST PROMOTION _____ PROJECTED DATE OF NEXT PROMOTION _____

7. DATES AND TYPES OF OTHER PERFORMANCE AWARDS AND QSIs RECEIVED WITHIN THE LAST 52 WEEKS.
(NOTE: A QSI cannot be received if one was granted within the preceding consecutive 52 calendar weeks)

8. ATTACH A COPY OF EMPLOYEE'S MOST RECENT ANNUAL PERFORMANCE APPRAISAL TO SUPPORT THE NOMINATION.

NOMINEE'S POSITION DESCRIPTION AND THE PERFORMANCE STANDARDS FOR THE POSITION WERE THOROUGHLY REVIEWED BEFORE SUBMITTING THIS RECOMMENDATION. I CERTIFY THAT THE EMPLOYEE'S PERFORMANCE HAS BEEN APPRAISED AS OUTSTANDING AND THAT IT MEETS THE CRITERIA FOR A QUALITY STEP INCREASE.

IMMEDIATE SUPERVISOR

DATE

DEPARTMENT DIRECTOR

DATE

Technical Director

DATE

TIME-OFF AWARDS PROGRAM

NAME OF Awardee (Last, First, Middle Initial)		EMPLOYEE NUMBER	DATE (Month/Day/Year)
COST OF AWARD	NATURE OF ACTION CODE/LEGAL AUTHORITY CODE (for SF50 processing) 872/V3E		NUMBER OF HOURS OF TIME-OFF GRANTED
AWARDED BY (Name and Title)			DATE (Month/Day/Year)
APPROVED BY (Name and Title)			DATE (Month/Day/Year)
TIME-OFF AWARD MUST BE USED BY _____ (not later than 1 year after date of approval.)			

REASON FOR AWARD

Summary statement explaining how the employee met one or more of the criteria for a time-off award.